



Kentucky Adult Education Policy and Procedure Manual

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Introduction

This manual contains policies and procedures of [Kentucky Adult Education](#) (KYAE), a unit of the [Council on Postsecondary Education](#) (CPE).

KYAE is charged by the state [Kentucky Adult Education Act of 2000](#) and the federal [Adult Education and Family Literacy Act, Title II](#) of the Workforce Investment Act, to improve the educational status of adult Kentuckians who do not have a high school diploma, who function at low levels of literacy or who want to learn the English language.

Every county is served by an adult education provider that offers, at a minimum, adult literacy, adult basic education, GED preparation and adult secondary education. Providers may also offer family literacy, English as a second language and workplace education. Adult education programs in counties with full-service jails provide corrections education based on local need and as recommended by the Kentucky Department of Corrections.

KYAE sets annual [funding allocations](#) and [enrollment goals](#) based on the county's population without a high school diploma or GED credential, age 18 and over, according to the 2000 U.S. Census. KYAE negotiates [performance measures](#) with the U.S. Department of Education, Office of Vocational and Adult Education (OVAE), and holds local programs accountable for meeting these measures through the [National Reporting System](#) (NRS). Data are required to be reported through KYAE's Adult Education Reporting Information Network (AERIN), KYAE's web-based data tracking system.

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Core Services

KYAE core services are defined as adult literacy services, adult basic education, adult secondary education/GED preparation, English as a second language, family literacy, corrections education and workplace education. Instruction in life skills, employability skills and computer literacy may be integrated into academic instruction but may not be provided as stand-alone instruction.

Adult education programs shall:

- Provide free and direct services to eligible adult students on a 12-month basis. Services must be of sufficient intensity and duration for students to achieve substantial learning gains.
- Operate one or more sites in the county to meet the unique learning needs of its residents.
- Provide services only in the counties for which they have contracted.

County adult education providers shall not charge students or employers for instructional or other services covered by state and federal adult education funds.

REQUIRED CORE SERVICES

KYAE-funded programs are required to provide the following core services. Students enrolled in adult education core services count in the enrollment goal and in program and student performance funding.

ADULT LITERACY

Adult literacy is a program of instruction designed for adults who have minimal or no skills in reading, writing, speaking, problem solving or computation.

ADULT BASIC EDUCATION

Instruction in adult basic education is designed for adults who lack competence in reading, writing, speaking, problem solving or computation at a level necessary to function in society, in the workplace or in the family.

ADULT SECONDARY EDUCATION/GED PREPARATION

Adult secondary education/GED preparation provides instruction designed for adults who have some literacy skills and can function in everyday life but who are not proficient in reading, writing, speaking, problem solving or computation or do not have a high school credential.

Students with a high school credential may be served in core services if they score 11.9 or below on the TABE.

CORRECTIONS EDUCATION

Corrections education is a program of instruction that consists of adult literacy, adult basic education, adult secondary education/GED credential preparation and/or English as a second language for adult criminal offenders. These services may take place at a local jail, halfway house or state correctional institution. Instruction in life skills, employability skills and computer literacy may be integrated into academic instruction.

Adult education providers are required to serve full-service jails in their county provided the full-service jail meets the following provisions:

- At least three hours (or an average of three hours) of classroom instruction must be made available per week, allowing for sufficient instructional time for meeting the post-assessment policy. Homework, as defined on pp. 23-24, can also be factored into the instructional time between the KYAE-approved pre and post- assessments, p. 21.
- During instructional time, the correctional facility must dedicate an adequate space that is conducive to learning. The space should have a low-noise level, adequate lighting, a comfortable temperature and appropriate furnishings.
- Inmates (students) should have access to instructional material for the purposes of homework and additional study outside of the classroom setting.

Halfway houses may be served as an extension of the core service program. This service should be based on local need and partnership with the halfway house.

Counties with a state correctional institution may provide adult education services in the evening.

Correction education funding is integrated into the core services grant; therefore, corrections education students count toward the county's enrollment goal.

Correction expenditures must be reported as a separate item on invoices to KYAE.

OTHER CORE SERVICES

In addition to required core services, adult education providers are encouraged to provide the following services with core services grant funds.

FAMILY LITERACY

Family literacy programs are designed to break the intergenerational cycle of under-education by providing opportunities for parents and their children to learn together. Adult education providers offering family literacy shall ensure that programs are of sufficient quality, intensity and duration to make sustainable changes in a family.

Local adult education programs have great flexibility in how they design and offer family literacy. For example, programs may choose to operate a 12-month program, a summer program, or even a series of short, but intensive, family literacy classes. In designing a family literacy program, programs should consider:

- Family literacy does not have a separate enrollment goal. Each family literacy adult student counts toward the county's enrollment goal and in performance funding.
- Family literacy programs must be based on a four-component model – adult education, Parent and Child Together Time (PACT), parenting and children's education.
- Family literacy students are expected to participate an average of four PACT hours (two facilitated and two unfacilitated) and two parenting hours per month while enrolled in family literacy.
- Eligible family literacy participants include at least one child between the ages of birth and 18 years and at least one adult who is responsible for the child's well being and who is consistently an influence on the child's development.
- The adult student must meet the eligibility requirements for participation in adult education.
- The child education component is to be provided by other local educational agencies. KYAE funds may be used to provide the other three components. Facilities, programs and services shall comply with local, state and federal regulations for serving children.
- The child's improvement in language and literacy skills, reading readiness, reading, writing, numeracy and developmental areas is tracked by the child's educational agency, program, parent/guardian or medical or social work professional. A [Child Education Checklist](#) must be completed and signed by a parent/guardian, teacher or medical or social work professional and filed in the adult student folder.

ENGLISH AS A SECOND LANGUAGE

English as a second language instruction assists individuals of limited English proficiency to achieve competence in the English language. Instruction is geared to adults who want to become more fluent in English, pass the U.S. citizenship test and/or GED Tests and work on job-seeking skills. KYAE funds may not be used to provide instruction in Spanish or any language other than English. ESL students count toward the county's enrollment goal and in performance funding.

WORKFORCE EDUCATION

Workforce education is a program designed to improve the productivity of the workforce through improvement of adult education and workplace essential skills.

Workforce education consists of providing usual and customary adult education services at a workplace site or in the adult education center.

Workforce Education shall include one of the following:

- Academic instruction (reading, writing, mathematics or English as a second language).
- Instruction leading to GED attainment.
- Instruction leading to the Kentucky Employability Certificate (KEC).
- Instruction leading to the Kentucky Manufacturing Skill Standards Certificate (KMSS).

In addition to one of the required components above, the following optional workforce education components may be offered:

- Soft skills (non- academic) as listed in the [Kentucky Adult Education Act of 2000, Senate Bill 1](#):
 - Communication
 - Problem Solving
 - Critical Thinking
 - Team Building
 - Computer Literacy (Introduction to the Computer, Spreadsheets, Word Processing, E-mail, Internet)
- [21st Century Skills](#)
- Financial Literacy Curriculum
 - KIFL Financial Literacy Curriculum
 - [Federal Deposit Insurance Corporation \(FDIC\) Money Smart Adult Financial Education Curriculum](#)
- KYAE-approved pre- and post-assessments are required to determine eligibility, inform instruction and assess progress.
- All students must be eligible for adult education services.
- All students must be entered in AERIN and should be in NRS educational levels.
- Students enrolled in Workforce Education count in the enrollment goal and in Program and Student Performance Funding.

WORKFORCE ALLIANCE GRANT

To accommodate employer requests and facilitate good local partnerships, providers may apply for Workforce Alliance funds. Students participating in Workforce Alliance-funded projects do not count toward enrollment goals or program or student performance funding.

PROJECT PARTICIPANTS

Through Workforce Alliance state funding, workforce education projects primarily provide services to entry-level, frontline employees of business and industry in

Kentucky. Project participants must be individuals who lack sufficient mastery of workforce skills necessary to function successfully as workers. All project participants must live or work in Kentucky.

TYPES OF WORKFORCE ALLIANCE PROJECTS:

- **Workforce Learning** – This model differs from Adult Education at the Workplace because the curriculum is customized to address specific employer needs. For example: Instead of comprehensive math instruction required for the GED Tests, the curriculum might consist of teaching only fractions due to a specific workplace need.
- **Workforce assessments** – Assessment activities are geared toward employment to measure the competency level of the current or prospective employees to ensure that their skill competency meets the company's needs. All workforce assessment projects must result from a specific industry request. Workforce assessments that are not provided by the local provider as usual and customary services leading to core services enrollments may be funded through Workforce Alliance. Assessment projects must be proportional to the need in the community.
- **Computer literacy** – All stand-alone computer literacy classes may be funded through Workforce Alliance funds. Computer literacy consists of introduction to the computer, basic spreadsheets, word processing, e-mail, and the Internet. Classes that integrate academics and computer literacy may be offered through core services grants, provided the students meet the KYAE eligibility guidelines.
- **Soft skills** – Projects may include communication, problem solving, critical thinking or team building and may be funded through Workforce Alliance.
- **Other projects** – Providers may continue to develop other workforce education projects, regardless of the number of hours in the project, and apply for Workforce Alliance funding.

To view the complete application process, [click here](#).

ENGLISH LITERACY/CIVICS

This program incorporates English literacy and civics education for immigrants and other students with limited English proficiency who are not required to be enrolled in school. To participate effectively in the education, work and civic opportunities of this country, immigrants must not only master English but also be able to understand and navigate governmental, educational and workplace systems and key institutions, such as banking and health care.

The Federal Register (November 17, 1999) defined civics education as “an educational program that emphasizes contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation and U.S. history and government to help students acquire the skills and knowledge to become active and informed parents, workers and community members.” The term “English literacy” indicates a program of instruction designed to help individuals of limited English proficiency achieve competence in the English language.

Students in the English literacy/civics program must have limited English proficiency. These are eligible adults who have limited ability in speaking, reading, writing or understanding the English language and whose native language is one other than English or who lives in a family or community environment where a language other than English is the dominant language.

Based on the availability of federal EL/civics funding, grants are made on annual basis through an RFP process determined by KYAE.

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Eligibility

Pursuant to [Title II of the Workforce Investment Act](#), the Adult Education and Family Literacy Act, eligible students are those individuals who live or work in Kentucky and:

- have attained 16 years of age;
- are not enrolled or required to be enrolled in secondary school under state law; and who
 - lack sufficient mastery of basic educational skills to enable the individual to function effectively in society;
 - do not have a secondary school diploma or its recognized equivalent, or have not achieved an equivalent level of education; or
 - are unable to speak, read or write the English language.

Individuals age 16-18 must provide official documentation of withdrawal from school as follows.

- If the student withdrew from school within the current semester and the student still resides in school district:
 - Official documentation of withdrawal is needed from the local school district.
- If the student withdrew from school in or before the previous semester and student still resides within school district:
 - Official documentation of withdrawal from the previous semester is needed from the local school district; or
 - An official statement that the student did not enroll in the semester following withdrawal is needed from the local school district.
- If the student is no longer a resident within the school district he/she withdrew from:
 - Official documentation of withdrawal is needed from the school district in which the student withdrew; or
 - An official statement confirming that the student did not enroll in school is needed from the local school district in which the student currently resides.
- If the student was withdrawn to be home schooled and is no longer being home schooled:
 - The home school must provide written notification to the school district in which the student currently resides that the student is no longer being home schooled. The date of the notification constitutes official withdrawal.

In accordance with Title VI of the Civil Rights Act of 1964, adult education providers shall not discriminate on the basis of gender, race, color, age and/or national origin in its adult education and literacy programs, activities, employment or admission policies and practices.

Individuals with an F-1 Visa (student visa) status are ineligible for services and shall “not be accorded a course of study in a publicly funded adult education program.” [Source: U.S. Immigration and Nationality Act (Sec. 1101a(15)(F)(1)]

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Enrollment

Enrollment is defined as a student assessed and enrolled 12 hours or more in adult basic education, adult secondary education, adult education at correctional institutions, family literacy, English as a second language and adult education at the workplace funded through the core services grant

Individuals shall be officially enrolled after completion of a KYAE-approved assessment (see “Assessment” section) and in compliance with eligibility requirements.

Distance learning students must complete a KYAE-approved assessment and meet eligibility requirements prior to accessing online courses.

SEPARATION

Students shall be separated if the student has not participated in the adult education program for 90 consecutive days.

Providers shall establish a local policy to separate students who are not making progress as defined by measurable gains on assessment instruments or objectives outlined in the student education plan.

RE-ENROLLMENT

Adult educators may re-enroll separated students who reach achievements in the first quarter of the fiscal year following their separation.

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Directory Information

The Family Educational Rights and Privacy Act (FERPA) requires that, with certain exceptions, education agencies obtain written consent prior to the disclosure of personally identifiable information from a student record. However, FERPA allows education agencies to disclose appropriately designated “directory information” without written consent, unless the student has advised the agency to the contrary in accordance with agency procedures.

Under FERPA, KYAE will disclose directory information for GED graduates. KYAE designates the following as directory information:

- Student name
- Address
- Telephone number
- Degrees, honors and awards received, specifically GED attainment

KYAE may disclose GED graduates’ directory information to postsecondary institutions, the Kentucky Higher Education Assistance Authority, Kentucky National Guard, employers, and employer associations with the following provisions:

- Directory information cannot be used for commercial purposes.
- Directory information cannot be sold or redistributed to other organizations.
- Organizations must state the reason for requesting directory information and indicate they will not use it for commercial purposes nor will they sell or distribute it to another organization.

GED graduates who do not want their directory information to be released must indicate such on the GED Demographic Form, Questions 36-40.

Directory information does not include requests for individual records or confirmation of individual GED graduates. Individuals and organizations seeking individual records must comply with the request process as specified at www.ged.ky.gov.

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Goal Setting

KYAE providers are required to follow NRS guidelines when setting student goals. The [NRS Implementation Guidelines](#) are available online and also in the printed NRS Implementation Guidelines, July 2006, page 44. More NRS goal-setting guidance is available in [NRS Tips – Goal Setting](#).

Within the NRS framework, all students are counted in the educational level completion measure. Students identify goals, four of which are directly relevant to NRS accountability requirements: obtain a job, retain current job, earn a secondary school diploma or achieve a GED certificate, and enter postsecondary education or job training. Other goals are: improve basic literacy skills, improve English language skills, obtain citizenship skills and achieve work-based project learner goals and other personal goals.

GOAL-SETTING PROCESS

Programs should have a goal-setting process whereby students meet with teachers or an intake counselor to help identify and set goals for instruction. This often takes place during orientation. The best time for this process to occur is when the student first enters the program. The goal-setting process should help students set both a realistic timeline for attaining each goal and a means for determining whether the goal is achieved. Since students often change their goals after they begin instruction, it is often advisable to review goal setting the first few weeks of class.

IDENTIFY ATTAINABLE SHORT- AND LONG-TERM GOALS

Setting a timeline and evaluating achievement will help the student realize whether the goal is short- or long-term and whether it is achievable. For example, when students enter a program, many of them state very broad goals, such as attaining a GED diploma or transitioning to postsecondary education. Breaking the goal down into discrete steps with short- and long-term milestones along the way establishes a series of goals that help students and teachers design instruction and identify the appropriate goals for NRS purposes.

When a student has one of the follow-up goals, the program is held accountable for helping the student attain the goal. The program or State must obtain information on whether the student achieved the goal after he or she leaves the program. For this reason, not only is it important that the student attain the goal during the program year but also that the program's instruction and services be oriented toward helping the student achieve the goal. For example, a student with a goal of GED attainment should be at a literacy level that makes passing the GED Tests likely within the year. The student also should receive instruction that helps him or her acquire the additional skills needed for passing the tests. Similarly, if the student's goal is to obtain a job, the program should provide instruction and services to help the student acquire the skills needed to obtain employment.

While setting a realistic goal is important for accountability, students' long-term goals should not be ignored simply because they are not obtainable during the NRS reporting period. States should ensure that local programs set goals appropriately and do not avoid setting goals because they do not want to follow up with students. Poor goal-setting procedures do a disservice to the student, and good instructional practice requires assisting students to achieve their goals. In addition, ignoring long-term goals denies the State the opportunity to demonstrate that it can help students achieve such goals.

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Assessment

OVERVIEW

The KYAE assessment policy provides guidelines pertaining to standardized assessment practices for all KYAE-funded programs and meets the guidance from the U.S. Department of Education, Office of Vocational and Adult Education, to describe approved assessments, initial and post-testing requirements, accommodations and training requirements. Adult education providers shall use KYAE's assessment policy in conjunction with publishers' official examiner's manuals and training workshops to determine local assessment procedures. Providers shall follow all guidelines in examiner's manuals and maintain the most current version of the manual for each test used by the program.

NEED FOR ASSESSMENT POLICY

KYAE's assessment policy provides a framework to measure program effectiveness and provides important criteria for continuous improvement on several levels:

- At the student level, an individual assessment provides valid, reliable information about the student's academic status and progress and allows the student to make informed decisions about goal setting. KYAE requires adult education programs to evaluate students with an approved standardized assessment upon enrollment to determine the appropriate education plan necessary for students to achieve their goals. Before the adult educator determines the most appropriate assessment, students should participate in an intake and orientation process to discuss academic and career goals and identify needed skills to help achieve their goals. This orientation session, accompanied by the adult educator's professional judgment and other criteria, such as the TABE Locator(s) Test should determine which of the approved assessments and curricula will best meet the student's needs.
- At the program level, accurate assessment data are critical for decision making in planning, instruction, professional development and program improvement. Student assessments help instructors pinpoint student needs and choose appropriate curricula. Aggregate data inform program directors regarding needed improvements and help guide staff professional development.
- At the state and federal level, incentive funding rests, in part, upon student achievement in NRS functional levels. Uniform implementation of KYAE's assessment policy ensures that high-quality accurate data are collected statewide and reported to OVAE so programs can be compared across the Commonwealth and nation. Assessment data also are important for setting KYAE's professional development priorities at the state level.

VALID AND RELIABLE ASSESSMENTS

The following section is excerpted from NRS Implementation Guidelines, July 2006, pages 24-25.

“Validity is concerned with the accuracy of measurement; in other words, the extent to which the instrument measures what it is intended to measure. Content validity of an assessment is the extent to which the items/tasks of the instrument cover the domain of interest. For the NRS, the domain of interest is comprised of the skills used to describe the educational functioning levels for ABE and ESL. To establish the content validity with respect to the requirements of the NRS, there must be evidence that the items/tasks of that instrument measure the skills associated with the educational functioning levels (and, by the same token, do not measure skills not associated with the levels).

“Typically, content validity is established via the judgments of subject matter experts (SMEs). For instance, a panel of such experts might be asked to judge the extent to which the items/tasks of a given instrument require the types and levels of skills described for a particular educational functioning level. In general, the greater the judged overlap between the content of the instrument and the skills associated with a given level descriptor, the greater the content validity of the instrument with respect to its use as a measure of educational attainment at that level. It is important to point out that the content validity of a given instrument may vary with respect to different educational functioning levels; that is, it may provide adequate coverage of the skills associated with some levels but less than adequate coverage of the skills associated with other levels. Finally, it should be noted that the usefulness of content validity evidence is directly proportional to the quality of the judgments provided. Consequently, the test publisher should establish the credentials of the SMEs whose judgments were obtained, including their familiarity with adult education and the NRS levels, along with information regarding the number of experts used and the degree of agreement among them, both by skill and level.

“Reliability refers to the degree of consistency in performance on an assessment; that is, the extent to which an examinee would be expected to perform similarly across multiple administrations of the instrument or under different conditions. An important condition that can differ across administrations of a particular instrument to be used for the NRS is the form of the instrument administered. More specifically, because educational gain is determined as a function of the difference between an examinee’s pre- and posttest performance as measured on different forms of the instrument, it is essential to review the test publisher’s information regarding the expected similarity of performance across forms in the absence of instruction or other external interventions. The greater the similarity in performance across forms, the greater the alternate forms reliability of the instrument and the stronger the inference that improvements in performance between pre- and post-testing is attributable to something other than measurement error associated with differences across forms.”

INITIAL ASSESSMENTS

To determine the appropriate assessment to administer, adult educators should talk with students about educational and career goals.

- Providers shall administer a KYAE-approved assessment at student orientation or within the first 12 hours of instruction. The lowest test score in a subject area shall be used to determine a student's entry level. Parts of an assessment, such as reading or math, may be used. The assessment should be in subjects in which instruction will be focused to facilitate student goal achievement.
- All initial assessment results must be entered into AERIN.
- The program will maintain enrollment forms, assessment forms and the current educational plan on file for three years.

TABE LOCATOR

If TABE is chosen as the appropriate assessment, the TABE Locator test should be used, along with other information, to determine the appropriate level of the TABE test to administer. While Locator is an important tool, information from a Locator should be viewed as only a rough estimate of the student's functional level, not as an absolute prediction. Students should participate in an intake and orientation process to discuss academic and career goals and their workforce experience. Information gleaned from orientation and the Locator results should be used along with professional judgment to determine the appropriate TABE level. [Revised February 9, 2011 – See History of Changes](#)

The Locator is used as follows.

For TABE 9 and 10

| TABE Level to Administer | Reading | Mathematics |
|--------------------------|------------|-------------|
| | # Correct | # Correct |
| E | 6 or fewer | 4 - 6 |
| M | 7 – 8 | 7 - 8 |
| D | 9 – 10 | 9 - 11 |
| A | 11 - 12 | 12 - 16 |

POST-ASSESSMENTS

Revised February 9, 2011 – See History of Changes

TABE POST-ASSESSMENT TIMEFRAMES

In compliance with recommendations as provided by OVAE, TABE post-testing shall occur as follows. See OVAE's [State Assessment Policy Guidance](#), pp. 6-9, and pp. 22-25 of this manual.

- **For students in NRS Levels 1-4:** After 50-60 hours of instruction with a minimum of 40 hours when testing with an alternate form (for example, 9M to 10M).
- **For students in NRS Levels 5 and 6:** 30-59 hours of instruction is recommended when testing with an alternate form (for example, 9D to 10D).
- If pre- and post-tests are with the same level and use the same form – (for example, TABE 9M to TABE 9M) –120 hours of instruction is recommended.

OTHER POST-ASSESSMENTS TIMEFRAMES

All other KYAE-approved assessments shall be administered according to the test publishers' recommended timeframes for post-testing as provided by OVAE. For timeframes, see OVAE's [State Assessment Policy Guidance](#), pp. 6-9, and pp. 22-25 of this manual.

GENERAL POST-ASSESSMENT REQUIREMENTS

- Providers shall use a different form of the same test for the follow-up assessment. For example, a TABE 9 pre-test should be followed with a post-test using TABE 10.
- All post-test results must be entered into AERIN. If more than one assessment is given, the progress assessment determines educational functioning level completion or advancement.
- Providers shall use the lowest subject area test score to determine a student's progress.
- If no follow-up assessment of the student is made during the program year, the student must be counted as remaining in the same educational level as upon entry and cannot be reported as advancing to a higher functioning level.
- An "advance" or "completion" is recorded if, according to a subsequent assessment, the student has entry-level skills corresponding to one or more levels higher than the incoming level in the areas initially used for placement.
- AERIN is programmed so that assessment scores automatically populate the NRS functional level and determine if an educational gain has been made.
- The Official GED Practice Tests (OPT) may not be used as a measure of student progress in instructional programs.

- Sixty percent of pre-tested students will be administered a post-test, using one of the KYAE approved assessments (TABE 9-10, WorkKeys[®], CASAS, BEST Literacy or Best Plus).

RETESTING BASED ON OUT-OF-RANGE TABE TEST SCORES

According to the Norms Books for the TABE tests, the Standard Error of Measurement (SEM) escalates rapidly at the extreme range for each test. The increased SEM indicates that test scores occurring at the high and low end of each range of scores are unreliable. This means that high and low scores on each of the tests are less likely to be a true indication of the student's ability. Therefore, students scoring out of range shall be retested. When a student's test score on the TABE falls outside of an acceptable range, retesting shall occur with a higher or lower level of the test.

- KYAE has established acceptable ranges for the Reading, Language, Mathematics Computation and Applied Mathematics sections of the TABE 9 and 10.
- AERIN will not allow any TABE scores outside of the acceptable ranges to be entered.
- The following table shall be used to determine whether the student's score is within or outside of the acceptable range of scores on that test and level. If the score is within the acceptable range, the test can be considered valid. If the score is outside of the acceptable range the test administrator shall follow the directions regarding whether to retest with a more or less advanced test. The table indicates when more or less advanced tests are not available.

| TABE Test Level | Content Grade Level Range | Reading | | | Mathematics (Applied and Computations) | | | Language | | |
|----------------------|---------------------------|--|---------------|--|--|---------------|--|--|---------------|--|
| | | Two Content Grade Level Ranges Below the Scale Score Range | Content Range | Two Content Grade Level Ranges Above the Scale Score Range | Two Content Grade Level Ranges Below the Scale Score Range | Content Range | Two Content Grade Level Ranges Above the Scale Score Range | Two Content Grade Level Ranges Below the Scale Score Range | Content Range | Two Content Grade Level Ranges Above the Scale Score Range |
| L (Limited Literacy) | 0-1.9 | 160-234 | 253-360 | 370-457 | 160 | 182-348 | 355-440 | | | |
| E (Easy) | 2.0-3.9 | 246-366 | 368-460 | 462-516 | 200-345 | 308-440 | 438-500 | 235-389 | 397-490 | 491-523 |
| M (Medium) | 4.0-5.9 | 374-459 | 464-517 | 522-549 | 307-442 | 440-503 | 508-548 | 396-487 | 492-520 | 524-546 |
| D (Difficult) | 6.0-8.9 | 463-516 | 519-561 | 568-595 | 442-504 | 504-572 | 562-601 | 492-523 | 524-556 | 561-581 |
| A (Advanced) | 9.0-12.9 | 538-565 | 568-612 | 619+ | 528-572 | 563-626 | 613+ | 541-559 | 564-603 | 613+ |

CONTACT AND ATTENDANCE HOURS

NRS defines contact and attendance hours as “hours of instruction or instructional activity the learner receives from the program. Instructional activity includes any program-sponsored activity designed to promote student learning in the program curriculum, such as classroom instruction, assessment, tutoring or participation in a learning lab. (Note: Time spent on assessment can be counted only if the assessment is designed to inform placement decisions, assess progress or inform instruction. Time used to take the GED Tests, for example, cannot be counted as instructional activity.)” The hours spent in orientation and assessment shall count toward the student’s total attendance hours.

Homework hours can be counted as attendance hours only when the teacher assigns a predetermined fixed number of hours of credit for each assignment based on teacher determination of the extent to which a learner engaged in and successfully completed the assignment. Homework packets count only once as homework hours and cannot be duplicated in the contact and attendance hours.

ASSESSMENT PROCEDURES

As specified in the “KYAE-Approved Assessments” section, adult educators must meet all test publisher and KYAE training requirements before administering assessments. Adult educators should consult the PD calendar for scheduled training on assessments.

Assessment instruments must be kept in a secure environment according to test publisher requirements.

Assessment instruments shall be administered in a proctored environment and in accordance with test publisher and KYAE assessment guidelines.

ASSESSMENT ACCOMMODATIONS

Reasonable accommodations for assessment shall be provided to students when:

- a. The student has disclosed the presence of a disability and has provided documentation by a qualified professional of eligibility for accommodations under the provisions of the Americans with Disabilities Act (ADA)/Section 504 and/or
 - b. The adult education program has administered an informal assessment/pre-screening instrument and determined that accommodations are warranted.
- Accommodated assessments shall be in compliance with accommodated testing guidelines, policies and procedures established by the program’s fiscal agent.
 - Accommodated assessments shall be in compliance with test publisher guidelines.

- Typical assessment accommodations for students with a documented disability include large print, extended time, audio-cassette, calculator for math, private room and break time.
- The accommodation must be specific to the disability and address only the documented functional limitations. Adult educators should note that inappropriate accommodations may lead to inaccurate test results.

DATA COLLECTION AND REPORTING

Providers are required to submit data electronically using AERIN. Failure to comply with the following deadlines may result in the withholding of payment:

- County adult education providers shall submit student data (for example, enrollment, goal attainment) by the 10th of the month for the previous month.
- Daily student contact and attendance hours shall be entered at least monthly by the 10th of the month for the previous month. See pp. 23-24 for NRS definition of contact and attendance hours.
- Providers shall update all separations by the last day of the quarter (September 30, December 31, March 31 and June 30).
- Final program year data shall be entered into AERIN by July 10.

KYAE regularly updates the AERIN Users' Manual and the KYAE Policy and Procedure Manual to incorporate NRS changes. Updates on system changes and revisions to the Users' Manual are announced and posted on [KYAE's website](#) and through e-mail.

New AERIN users are required to complete a training session prior to being issued a user identification number.

KYAE-APPROVED ASSESSMENTS

TABE 9-10

- TABE is recommended for adult education, corrections education and family literacy students.
- A student with a high school diploma must score 11.9 or below to be eligible.
- New KYAE-funded staff must complete a KYAE annual institute sponsored by KYAE, which includes *Introduction to TABE and Diagnostic Tools*. All other instructors administering the test must be trained by a local staff member who has successfully completed the TABE course and must be familiar with the McGraw-Hill training video and accompanying workbook on administering the TABE.
- In compliance with recommendations as provided by OVAE, TABE post-testing shall occur as follows. See OVAE's [State Assessment Policy Guidance](#), pp. 6-9.
 - **For students in NRS Levels 1-4:** After 50-60 hours of instruction with a minimum of 40 hours when testing with an alternate form (for example, TABE 9 Level M to TABE 10 Level M).
 - **For students in NRS Levels 5 and 6:** 30-59 hours of instruction is recommended when testing with an alternate form (for example, TABE 9 Level D to TABE 10 Level D).
 - If pre- and post-tests are with the same level and use the same form (for example, TABE 9 Level M to TABE 9 Level M) – 120 hours of instruction is recommended.

[Revised February 9, 2011 – See History of Changes](#)

TABE ordering information:

Aaron Hartman, CTB/McGraw-Hill Evaluation Consultant
101 Whitney Path #4
Georgetown, KY 40324
Phone: 502-370-4110; email: aaron_hartman@ctb.com

CTB/McGraw-Hill
P.O. Box 150
Monterey, CA 93942-0150
Phone: 800-538-9547; website: www.ctb.com

WorkKeys

- WorkKeys may be used when the student's goals are to get a job, a better job or improve workforce skills.
- **Adults without a high school diploma** may be initially assessed using WorkKeys and enrolled on this assessment if the student's WorkKeys level crosswalks to one of these three NRS levels (High Intermediate Basic Education, Low Adult Secondary Education, High Adult Secondary Education). This assessment should be administered only after an initial intake process indicates the student may score high enough for placement in one of the top three NRS levels. If the student's WorkKeys level falls below one of these three NRS levels, the student should be assessed on the TABE and enrolled according to TABE results.
- **Adults with a high school diploma** should be assessed with a TABE to determine adult education eligibility (scoring 11.9 or below). If the adult is not eligible, he/she should be referred to KCTCS for a WorkKeys assessment.
- **Adults with a high school diploma and a pre-existing WorkKeys level** that qualifies them for adult education services (one of the three NRS levels above) may be enrolled based on the WorkKeys assessment.
- To show level gains, students enrolled on a WorkKeys assessment must be post-tested using WorkKeys.
- When used in a non-collegiate setting, post-testing should be based on a regular course of instruction and/or workforce project.
- Information on how to obtain scale scores for students is available at [scale scores](#).
- In compliance with recommendations as provided by OVAE, WorkKeys post-testing shall occur as follows. See OVAE's [State Assessment Policy Guidance](#), pp. 6-9.
 - "We [ACT/WorkKeys] typically recommend that the student be involved in regular instruction that is offered by the institution. This would amount to a semester or quarter course."

WorkKeys ordering information:

ACT WorkKeys Customer Service – 70
2727 Scott Blvd.
PO Box 1008
Iowa City, IA 52243-1008
(319) 337-1550; website: www.act.org/workkeys

BEST Literacy BEST Plus

- These assessments are to be used for English as a second language students.
- Adult educators must be trained by a certified BEST Plus trainer before administering the BEST Plus assessment. All new ESL teachers must complete “BEST Plus Implementation” or “CASAS ESL Implementation.” “BEST Plus Implementation,” sponsored by KYAE, is led by certified trainers.
- Adult educators must be familiar with the training video and examiner’s manual for BEST Literacy.
- In compliance with recommendations as provided by OVAE, BEST post-testing shall occur as follows. See OVAE’s [State Assessment Policy Guidance](#), pp. 6-9.
 - “60 hours minimum; 80-100 hours recommended.
 - If the hours for a course of instruction exceed the recommended number of hours, post-testing may most appropriately take place at the end of the instructional session.
 - Because program-related factors such as intensity of instruction, class size, teacher training and experience, and use of appropriate curricula and materials will affect language learning proficiency gains, programs should consider these factors when determining timing for pre- and post-testing.”

BEST ordering information:

Center for Applied Linguistics
4646 40th Street, NW
Washington DC 20016-1859
(202) 362-0700; website: www.cal.org

CASAS

- CASAS is to be used only for English as a second language students.
- Adult educators must be trained by a certified CASAS trainer before administering these assessments. All new ESL teachers must complete “BEST Plus Implementation” or “CASAS ESL Implementation.” “CASAS Implementation,” sponsored by KYAE, is led by a certified trainer.
- In compliance with recommendations as provided by OVAE, CASAS post-testing shall occur as follows. See OVAE’s [State Assessment Policy Guidance](#), pp. 6-9.
 - “70-100 hours (40 hours is the minimum).
 - Allow exceptions for courses with different schedules and intensity, e.g., allow more time for courses that meet infrequently or not intensively and for very intensive courses wait longer than the recommended number of hours to post-test.
 - Programs offering high-intensity courses (e.g., class meets more than 15 hours per week) may choose to test at the end of a semester, term, quarter, or other substantial block of instruction, even though the instructional intervention is more than 100 hours of instruction.
 - Programs offering low intensity courses with less than 70 hours in a semester, quarter, term, or other block of instruction, may choose to post-test at the end of the instructional period.
 - Programs may choose to assess students who indicate they are leaving the program before the scheduled post-test time, to maximize collection of paired test data.”

CASAS ordering information:

CASAS
8910 Clairemont Mesa Blvd.
San Diego, CA 92123-1104
(800) 255-1036
Website: www.casas.org

OTHER ASSESSMENTS **(NOT USED FOR ENROLLMENT)**

Providers may offer the Kentucky Manufacturing Skills Standards assessment only when an individual's eligibility has been established in accordance with assessment and enrollment policy.

The COMPASS assessment has been crosswalked to the TABE; however, a COMPASS score may not be used for enrollment because COMPASS is not an NRS-approved enrollment assessment. The COMPASS-TABE crosswalk cannot be used for assessment or enrollment purposes. Existing COMPASS scores may be used in the intake process as an unofficial indication of a student's level.

In addition to the required standardized pre- and post-assessment instruments, programs should continue to use a variety of informal instruments and procedures to collect valid on-going information regarding student instructional needs and progress. Some examples include:

- Computerized assessments
- End of unit tests from textbooks
- Checklists
- Individual projects or products
- Small group projects
- Educator-made assessments
- Project/products with clearly defined criteria or performance standards
- Dated anecdotal records of teaching observations
- Performance samples, including writing samples, journals, audiotapes of student readings or interviews, worksheets
- Role playing
- Student interviews and self-evaluations

Programs shall not use old forms of TABE, CASAS, BEST or OPT as an interim or practice assessment.

The following assessment instruments and procedures may not be used for determining entry or exit level:

- Official GED Practice Test (OPT)
- GED (General Educational Development) Tests
- TABE Survey Test
- Short form of BEST (Basic English Skills Test) Oral

- Using different assessment instruments for pre- and post-assessment (i.e., CASAS for pre-assessment; TABE for post-assessment)
- Using the same form of CASAS for both pre- and post-assessment
- Professional judgment
- COMPASS

PROFESSIONAL DEVELOPMENT

KYAE will provide professional development to all staff who either administer or score each of the KYAE-approved assessments. New KYAE-funded staff must complete *KYAE 200: Orientation to Adult Education*, which includes information on NRS, accountability policies, data collection process, definition of performance measures and conducting assessments within the first 30 days of employment. New KYAE-funded staff must complete annual institutes that cover *Introduction to TABE and Diagnostic Tools*.

Previously trained staff must attend refresher courses on administering assessment tests every two years or when essential information is updated.

NATIONAL REPORTING SYSTEM

The [National Reporting System](#) (NRS) is the accountability system for the federally funded adult education program, mandated by the [Workforce Investment Act](#) (WIA).

Adult education programs nationwide use NRS levels to provide information to the federal government about student progress. KYAE collects student assessment, demographic and participation data on AERIN to report to the NRS and partners.

NRS LEVELS

To comply with NRS, providers must use the following entry and progress levels.

Adult Education Levels

- **Beginning ABE Literacy (grade level 0-1.9)**
 - TABE (9-10)
 - Test Benchmarks: Reading: 367 and below
 - Total Math: 313 and below
 - Language: 389 and below

- **Beginning Adult Basic Education: (grade level 2-3.9)**
 - TABE (9-10)
 - Test Benchmarks: Reading: 368 - 460
 - Total Math: 314 - 441
 - Language: 390 - 490

- **Low Intermediate Adult Basic Education: (grade level 4-5.9)**
 - TABE (9-10)
 - Test Benchmarks: Reading: 461-517
 - Total Math: 442-505
 - Language: 491-523

- **High Intermediate Adult Basic Education: (grade level 6-8.9)**
 - TABE (9-10)
 - Test Benchmarks: Reading: 518-566
 - Total Math: 506-565
 - Language: 524-559

 - WorkKeys
 - Test Benchmarks: Reading for Information: 75-78
 - Writing: 75-77
 - Applied Mathematics: 75-77

- **Low Adult Secondary Education: (grade level 9-10.9)**
 - TABE (9-10)
 - Test Benchmarks: Reading: 567-595
 - Total Math: 566-594
 - Language: 560-585

 - WorkKeys
 - Test Benchmarks: Reading for Information: 79-81
 - Writing: 78-85
 - Applied Mathematics: 78-81

- **High Adult Secondary Education: (grade level 11-11.9)**
 - TABE (9-10)
 - Test Benchmarks: Reading: 596 and above
 - Total Math: 595 and above
 - Language: 586 and above

- WorkKeys
 Test Benchmarks: Reading for Information: 82-90
 Writing: 86-90
 Applied Mathematics: 82-90

English as a Second Language Levels

▪ Beginning Literacy ESL

- CASAS
 Test Benchmarks: Reading: 180 and below
 Listening: 180 and below

- BEST Literacy
 Test Benchmarks: 0-20

- BEST Plus
 Test Benchmarks: 400 and below

▪ Low Beginning ESL

- CASAS
 Test Benchmarks: Reading: 181-190
 Listening: 181-190

- BEST Literacy
 Test Benchmarks: 21-52

- BEST PLUS
 Test Benchmarks: 401-417

▪ High Beginning ESL

- CASAS
 Test Benchmarks: Reading: 191-200
 Listening: 191-200

- BEST Literacy
 Test Benchmarks: 53-63

- BEST PLUS
 Test Benchmarks: 418-438

- **Low Intermediate ESL**

- CASAS
Test Benchmarks: Reading: 201-210
Listening: 201-210
- BEST Literacy
Test Benchmarks: 64-67
- BEST PLUS
Test Benchmarks: 439-472

- **High Intermediate ESL**

- CASAS
Test Benchmarks: Reading: 211-220
Listening: 211-220
- BEST Literacy
Test Benchmarks: 68-75
- BEST PLUS
Test Benchmarks: 473-506

- **Advanced ESL Literacy**

NOTE: Students must score below the exit criteria to be eligible for ESL services.

- CASAS
Test Benchmarks: Reading: 221-235
Listening: 221-235

Exit Criteria: Reading: 236 and above
Listening: 236 and above
- BEST PLUS
Test Benchmarks: 507-540

Exit Criteria: 541 and above
- **NOTE: BEST Literacy should not be used for enrollment in High Intermediate ESL or advanced ESL due to the lack of exit criteria.**

DISTANCE LEARNING

Adult education programs are required to enter all student attendance hours. In AERIN, distance and center attendance hours are recorded separately. Attendance hours for students using approved online curricula in the center will be reported as center hours. All student work completed outside of the adult education center will be counted as distance learning hours.

DISTANCE EDUCATION

Distance education is a formal learning activity where students and instructors are separated by geography, time or both for the majority of the instructional period. Distance learning materials are delivered through a variety of media including, but not limited to, print, audio recording, videotape, broadcasts, computer software, web-based programs and other online technology. Teachers support distance learners through communication via mail, telephone, e-mail or online technologies and software.

DISTANCE LEARNERS

Distance learners are defined as students receiving more of their instruction from a distance and not in the local adult education center. Local center hours and distance learning hours will be recorded in AERIN separately. At separation or the end of the fiscal year, the student's status as an adult education center student or distance learner will be determined. Student hours from both online instruction and in the adult education center will be reported according to the NRS Guidelines for Distance Education Learners.

APPROVED DISTANCE LEARNING CURRICULA

The following curricula have been reviewed and approved by KYAE for distance learning instruction: PLATO, GED Connection, WIN, Rosetta Stone, Contemporary's Instruction Targeted for TABE Success and SkillsTutor. Additional adult education curricula that have a mechanism for tracking student engagement time may be approved for future use.

IDENTIFYING AND REPORTING CONTACT HOURS

According to NRS, "students in distance education must have at least 12 hours of contact with the program before they can be counted for federal reporting purposes. **Direct contact hours** for distance learners can be a combination of actual contact and contact through telephone, video, teleconference or online communication, where student and program staff can interact and through which learner identity is verifiable."

In addition to direct contact hours, proxy contact hours for distance learners will also be collected. **Proxy Contact Hours** may be counted using either the clock time model or teacher verification model.

The Clock Time Model assigns contact hours based on the elapsed time that a student is connected to or engaged in an online or stand-alone software program that tracks time. The chart below shows the Proxy Contact Hour (PCH) criteria and credit for each of the approved curricula.

| Curriculum | Model | Criteria for Awarding PCH | PCH Credit | Validation by |
|----------------|----------------------|--|--|---------------|
| PLATO | Clock | System must track time and log out students after preset period of inactivity. | Recorded time in system. | N/A* |
| WIN | Clock | System must track time and log out students after preset period of inactivity. | Recorded time in system. | N/A* |
| Rosetta Stone | Clock | System must track time and log out students after preset period of inactivity. | Recorded time in system. | N/A* |
| ITTS | Clock | System must track time and log out students after preset period of inactivity. | Recorded time in system | N/A* |
| Skills Tutor | Clock | System must track time and log out students after preset period of inactivity. | Recorded time in system | N/A* |
| GED Connection | Teacher Verification | <p>Video: Student self reports to teacher.</p> <p>Workbook: Teacher determines % of work completed.</p> <p>Internet Activities: Teacher determines work completed.</p> <p>Internet Module: Teacher validates w/questioning whether student has engaged.</p> <p>Practice Tests: Online and print based.</p> | <p>Video: .5 hours</p> <p>Workbook: ≥75% of activities completed=4hrs; 50 – 74%=2 hrs</p> <p>Internet Activities: 1 hr per activity; total possible PCH = 43</p> <p>Internet Module: 3 hrs per module; total possible PCH = 15</p> <p>Practice Tests: 1 hr per test; total possible PCH = 22</p> | Project IDEAL |

The Teacher Verification Model assigns a fixed number of credit hours for each assignment based on teacher determination of the extent to which a learner engaged in or completed the assignment.

ASSESSING DISTANCE LEARNERS

Distance learners must be assessed under the same guidelines as all adult students in Kentucky using approved standardized assessment tools. All standardized assessment must occur in an adult education center where the student's identity is verifiable.

KENTUCKY VIRTUAL ADULT EDUCATION

In partnership with the Kentucky Virtual Campus, KYAE developed Kentucky Virtual Adult Education, an online statewide portal for delivering distance education. Training, ongoing professional development for adult educators and technical support has been available to educators statewide since KYVAE was launched in 2002. KYAE encourages but does not mandate the extent to which distance learning is available through local programs. The majority of programs provide some form of distance education opportunity although the curricula utilized varies from county to county.

FUNDING FOR DISTANCE LEARNING

KYAE solely funded the online software available through KYVAE until June 30, 2008. Starting in fiscal year 2009, local adult education programs have been responsible for purchasing their own virtual seats for student use. KYAE does not mandate that local providers participate and will continue to fund some online curricula for all programs. Programs do not receive an additional funding for distance learning. By purchasing the site license and allowing programs to buy seats attached to that license, the cost to local programs is minimal.

TRAINING REQUIREMENTS

All adult educators offering distance education will need to receive training through KYAE or a KYAE-approved trainer prior to beginning instruction. They will be informed of opportunities for training via e-mail. Distance educators will be encouraged to enhance their knowledge through ongoing workshops and web conferences.

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GED Services

GED TEST READINESS

The GED testing regulation, 785 KAR 1:130 Section 4, requires test takers to be certified as “test ready.” The GED Official Practice Test (OPT) shall be administered under standard conditions as specified in the *Examiner’s Manual*. Approved forms for the practice test are Practice B (PB), Practice C (PC), Practice D (PD), Practice E (PE), Practice F (PF), Practice G (PG) and the Official GED Practice Test Full Length. Practice (PA) should be limited to use as a retest after other forms have been exhausted.

Individuals with a documented disability shall be presented with the same accommodations on the GED OPT as will be necessary for the GED Tests. The GED OPT is available in English, Spanish, audio-cassette and large print.

Test Readiness Certification is verified on the GED Testing Application Form (KYAE-6) by the signature, address and the six-digit provider code number of the county adult education supervisor or instructor.

785 KAR 1:130, Section 4(1)(a), requires applicants to achieve the same scores on the OPT as required to pass the GED Tests, a minimum standard score of at least 410 on each sub-test and an average of 450 on the OPT. Test takers may not be certified as “test ready” until all sub-tests have been passed. If a test taker passes the five sub-tests with a minimum standard test score of 410 but does not attain an average standard score of 450, the student shall be eligible to retake one or more sub-tests to raise the overall score. OPT scores must be entered in AERIN.

KYAE adult education providers are designated to administer the OPT and sign the KYAE-6 form. KYAE may approve other public or private non-profit educational entities to administer the OPT and to sign the KYAE-6 form if the students are in a restricted environment where there is a sufficient volume of OPTs for an additional OPT provider in a county. Once approved, these agencies shall annually petition KYAE by July 1 to remain a certified entity for the next fiscal year. All approved OPT providers, including KYAE-funded programs and other organizations administering the OPT, must have at least one instructor complete OPT training provided by KYAE.

An adult education instructor, aide or program director who asks a GED examinee about items or topics on the tests is in violation of policy set by the national GED Testing Service®. Evidence of violation of this policy may result in termination of the KYAE program contract.

GED ADMINISTRATION

Program funds may not be used to pay GED test fees.

A line item in local program budgets allows for the use of up to 0.5 percent of the core services grant for GED ceremonies and refreshments for student activities.

To help adult educators inform students about taking the GED Tests, the following information is provided from the KYAE GED Policy and Procedure Manual.

PRE-PAYMENT OF TEST FEES

All test fees must be received by the test center at least one day before the test. No test fees shall be collected on the day of the test. Test centers may establish a pre-pay policy greater than one day. Agencies that provide vouchers for candidates shall pay for the testing slot in advance.

No SHOW POLICY

A candidate who does not appear for the registered test date or appears late may reschedule within one week (seven working days) for the next available test slot at the same test center without an additional fee. Thereafter the full test fee or retest fee shall apply. Test centers may establish a more stringent no-show policy.

IMPROVED OPT SCORES FOR RETESTING

Candidates who are retesting must present a completed and signed KYAE-6 form with improved OPT scores on the subtests not passed on the GED Tests.

OPT SCORES WITH ACCOMMODATIONS REQUEST

Passing the OPT is an eligibility requirement in Kentucky. Individuals submitting an accommodation request shall submit OPT scores.

RESERVATION OF A TESTING SLOT

A testing slot is not reserved until all required forms with signatures and the test fee is sent to the test center.

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Performance and Accountability

KYAE's core business is to raise the educational levels of eligible adults by providing academic instruction that leads to strong literacy skills and GED attainment, which are the gateways to postsecondary education and skilled employment.

The federal [Workforce Investment Act](#) requires a comprehensive performance accountability system to measure the success of adult education programs. KYAE uses the NRS core performance measures for this purpose. Providers are responsible for meeting these performance measures.

PROGRAM REVIEW AND CONTINUOUS IMPROVEMENT

KYAE evaluates programs through desk reviews and onsite reviews. The purpose of these reviews is to recommend strategies for continuous improvement and to determine contract compliance. The ongoing desk reviews include analysis of quantitative data that programs submit to KYAE through the AERIN system and information from audits and other sources.

Onsite reviews are conducted in special circumstances. Examples of special circumstances include, but are not limited to, programs with new fiscal agents, programs with special needs, programs that request onsite reviews and programs in the Needs Improvement performance category. Before the onsite visit, programs may be required to conduct a self-review, which is the foundation for a program improvement plan. The onsite review allows KYAE to verify data and look at processes and qualitative information about local programs. Onsite reviews also provide an opportunity for gathering more data and for elaborating on the initial findings of desk reviews as well as discussions with staff related to the program's performance measures.

PROGRAM PERFORMANCE FUNDING

Each year, county programs are placed into one of three program performance categories based on final enrollment and performance data for the previous fiscal year. The three performance categories are Excellence, Proficient and Needs Improvement.

Enrollment is defined as a student assessed and enrolled 12 hours or more in adult basic education, adult secondary education, adult education at correctional institutions, family literacy, English as a second language and adult education at the workplace funded through the core services grant.

Academic performance is the percent of enrolled students completing NRS education functional levels in areas such as reading, math and language.

For a program to be in the **Excellence** category, it must meet or exceed 90 percent of its enrollment goal and at least 54 percent of academic performance (54 percent of enrolled students completing NRS education functional levels).

Any program not qualifying for Excellence, but scoring at least 70 percent of enrollment and 48 percent of academic performance (48 percent of enrolled students completing NRS education functional levels) will be considered **Proficient**.

A program achieving less than 70 percent enrollment or less than 48 percent in academic performance (48 percent of enrolled students completing NRS education functional levels) will be placed in **Needs Improvement**.

Programs in the Excellence category are eligible to receive program performance funding. Programs participating in the managed program pilot are only required to be in the proficient category in enrollment, but must be in the excellence category in academic performance to be eligible for program performance funding.

Programs in the Excellence category reaching their [GED target](#) will be eligible for the maximum program performance funding of 1 percent for each of the following performance measures met, thus recognizing the importance of the GED diploma as one of the key measures of success. Programs achieving the Excellence category, but not reaching their GED target will be eligible for program performance at 0.5 percent for each of the performance measures met.

The 13 NRS Performance Measures used to determine program performance funding are:

| NRS Performance Measures | Target |
|---|--------|
| 1. Beginning ABE Literacy | 57% |
| 2. Beginning ABE | 54% |
| 3. Low Intermediate ABE | 54% |
| 4. High Intermediate ABE | 53% |
| 5. Low Adult Secondary | 55% |
| 6. Beginning Literacy ESL | 53% |
| 7. Low Beginning ESL | 48% |
| 8. High Beginning ESL | 53% |
| 9. Low Intermediate ESL | 49% |
| 10. High Intermediate ESL | 52% |
| 11. Advanced ESL Literacy | 41% |
| 12. Transition to Postsecondary Education | 72% |
| 13. Earn a GED Diploma | 85% |

STUDENT PERFORMANCE FUNDING

Student performance funding allows county programs to earn funding for KYAE-approved student outcomes and is available to programs in Excellence or Proficient categories. KYAE will calculate the dollar value per point by dividing the available student performance funding amount by the number of student outcomes from county programs in the Excellence and Proficient categories. Student performance funding will be based on the following categories:

| Performance Category | Point Value |
|--|-------------|
| Educational Level Completions (multiple)* | 1 |
| GED Graduates <2700 GED Test Score** | 2 |
| GED Graduates ≥2700 GED Test Score** | 4 |
| GED Graduates Transitioning to Postsecondary Education | 3 |
| Adult Education Student Transitioning to Postsecondary Education | 1 |
| Family Literacy (Educational Level Completion or GED diploma + Facilitated/Unfacilitated PACT and Parenting) | 1 |
| Kentucky Employability Certificate/Kentucky Manufacturing Skills Standard | 1 |
| Gain Employment*** | 1 |

*Multiple educational level completions are defined to include level completions in math, reading and language not just the subject in which the student is enrolled. However, the student must complete the initial educational level before completions in other educational level completions will be counted for student performance funding.

**Point values for GED Graduates <2700 GED Test Score and GED Graduates ≥2700 GED Test Score are doubled once the [county GED target](#) is met.

***The Gain Employment measure must be set as a student goal and achieved within one quarter of student separation according to a state data match for enrolled students. Due to the timeframe of data matching, funds will be awarded based on the previous fiscal year data for this performance category. This will continue on a rolling basis.

ACCOUNTABILITY

All county programs will receive program support from KYAE staff. Those programs that are in the Needs Improvement performance category will receive targeted program support based on the assessed area(s) of need.

Programs performing in Needs Improvement in either enrollment or academic performance for **one year** will be provided targeted program support. Targeted program support will be determined by a comprehensive evaluation of the program and any additional steps deemed necessary by KYAE.

Programs performing in Needs Improvement in either enrollment or academic performance for **two consecutive years** will be placed on **probation** and provided targeted program support.

Programs performing in Needs Improvement in either enrollment or academic performance for **three consecutive years** will result in **contract termination**.

Programs performing in Needs Improvement in both enrollment and academic performance for **one year** will be placed on probation and provided targeted program support.

Programs performing in Needs Improvement for **two consecutive years** in both enrollment and academic performance will result in **contract termination**.

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Personnel

NOTE: As of January 3, 2011, the qualifications for newly hired program directors, instructors and instructor's aides changed as specified in the corresponding sections below. Further personnel policy changes, which will be effective July 1, 2011, will be posted on KYAE's website soon.

Personnel changes must be reported to KYAE within 10 days of changes. To report changes, update the latest personnel worksheet submitted to KYAE.

The following guidelines should be used to recruit and hire personnel and develop job descriptions. The minimum requirements for each title are mandatory. All new county program fiscal agents must ensure that all employees meet the minimum requirements for each title.

CLASS TITLE: PROGRAM DIRECTOR

CHARACTERISTICS OF THE CLASS: Provides program leadership and direction; plans, develops, implements and evaluates all aspects of program and personnel.

EXAMPLES OF DUTIES:

Management:

- Oversees the day-to-day operation of program.
- Initiates and facilitates change for continuous program improvement and capacity building.
- Understands, interprets and assures compliance with federal and state laws and regulations.
- Establishes procedures to meet performance measures for program accountability.
- Initiates program planning, develops goals and plans for meeting objectives.
- Provides leadership in development of curriculum, retention activities and other student services.
- Promotes safe work environment.
- Establishes procedures for collecting, documenting and reporting data and ensures accountability.
- Communicates regularly with staff and involves them in planning through a variety of formal and informal means.
- Oversees recordkeeping.

Instruction:

- Provides instruction in literacy, adult basic education, GED preparation, English as a Second Language, workplace, family literacy and/or citizenship. Applies research-based instructional practices that incorporate the use of computers and other technologies.

Personnel:

- Assures appropriate program staffing.
- Supervises, observes and evaluates staff.
- Coordinates activities of instructional staff to ensure effective program operation.
- Assists staff in developing professional development plans.
- Promotes professional development opportunities and adheres to the professional development policy.

Fiscal:

- Manages fiscal resources and reports financial information.
- Identifies additional resources and initiates plans to secure them.
- Prepares and monitors all aspects of budget.
- Monitors contract compliance and cooperative agreements.
- Monitors and approves purchasing.

Community:

- Advocates and promotes adult education program within community.
- Builds partnerships to enhance the availability, quality and delivery of services.
- Participates in local organizations (P-16 councils, WIA boards, One-Stops, etc.).

Leadership:

- Models professional behavior and requires other staff members to act in a professional manner.
- Promotes the philosophy, goals and objectives of adult education at local, state and national levels.
- Promotes an environment in which cultural and philosophical diversity is valued and appreciated.
- Cultivates an atmosphere of respect for all staff and students.
- Provides instructional leadership by initiating and monitoring the process of curriculum development and supports instructional strategies based on research in adult learning and development.
- Recruits students to meet enrollment goals.

Professional Development:

- Participates in required professional development activities.
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing a professional development plan.

MINIMUM REQUIREMENTS:

- All program directors hired after July 1, 1998, shall possess a minimum of a bachelor's degree.
- All new program directors hired after July 1, 2004, shall possess a bachelor's degree and three years of administrative/management experience; a master's degree can substitute for two years of the administrative/management experience. A bachelor's or master's degree in administration, education or a related field is preferred.
- All program directors hired after January 3, 2011, shall possess a minimum of a bachelor's degree and three years of administrative or management experience. A degree in administration, education or a related field is preferred. This position requires demonstrated leadership ability and evidence of success in achieving measurable outcomes. Program directors who instruct will also meet the minimum requirements for instructors. [Revised January 3, 2011 – See History of Changes](#)

CLASS TITLE: INSTRUCTOR

CHARACTERISTICS OF THE CLASS: Provides instruction to adult education students. Plans, implements, documents and evaluates instructional practices, procedures and materials. Provides direct, on-site daily supervision of instructor's aides.

EXAMPLES OF DUTIES:

Instruction:

- Provides instruction in literacy, adult basic education, GED preparation, English as a Second Language, workplace, family literacy and/or citizenship. Applies research-based instructional practices that incorporate the use of computers and other technologies.
- Is knowledgeable of reading, writing and/or math instructional strategies.
- Uses a variety of instructional strategies and tools appropriate to the needs of the student; for example, Kentucky Virtual Adult Education, PLATO, WIN, WorkKeys, etc.
- Uses lesson plans that integrate instruction across content areas.
- Provides continuous feedback and adjusts instruction to maximize student learning.
- Works with colleagues to develop and evaluate curriculum and materials.
- Integrates work-, family- and community-related activities into instruction.
- Administers and interprets appropriate placement and diagnostic tests.
- Applies adult education principles and methods in the workforce classroom.
- Delivers instruction on workplace essential skills.
- Facilitates the transfer of learned skills from the classroom to the job.
- Uses job/task analysis (JTAs) in planning instruction and developing workplace education curricula.
- Incorporates SCANS skills in the workplace education instructional process.
- Plans learning experiences that are interactive and relevant to the specific workplace environment.
- Customizes and develops workplace education curriculum and lesson plans that facilitate transference from the classroom to the job based on the workforce goals and expected training outcomes.
- Provides PACT and parenting activities.
- Prepares lessons and plans instructional support activities carried out by instructor's aides.
- Evaluates the achievement of students with whom instructor's aides are working.

Assesses and Monitors Learning:

- Uses formal and informal assessment data to monitor and document student progress.
- Collects and manages accurate data for program improvement and accountability.
- Participates in the retention and follow-up of students.

Classroom Management:

- Maintains knowledge of program regulations, policy and procedures.
- Maintains student records.
- Supervises and monitors instructor's aides.

Community:

- Makes referrals to community agencies or postsecondary institutions as appropriate.
- Advocates literacy at the local and state level and explains the impact of under-education on employment and society.
- Assesses adult education needs and promotes program in community.
- Promotes use of community resources and participates in activities of other community agencies.
- Coordinates family literacy and collaborates with appropriate services and agencies.
- Integrates the four components of family literacy to create a comprehensive family literacy program.
- Recruits families and matches them with instructional staff.

Professional Development:

- Participates in required professional development activities.
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing a professional development plan.

MINIMUM REQUIREMENTS:

- As of July 1, 1998, all new instructors shall possess a minimum of a bachelor's degree. A degree in education or a content-related field is preferred.
- All instructors hired after January 3, 2011, shall possess a minimum of a bachelor's degree in education or a content-related field. They will have earned a 12.9+ score in every content area on a TABE A or, within the past 10 years, they will have earned a 21 composite score on an ACT or 990 on the SAT. A current teaching certificate in the content area of instruction is preferred. [Revised January 3, 2011 – See History of Changes](#)

CLASS TITLE: INSTRUCTOR'S AIDE

CHARACTERISTICS OF CLASS: Must work under the direct, on-site daily supervision of a qualified instructor. Assists qualified instructors in the delivery of instruction, support and related services. Aides may not provide instruction independently.

EXAMPLES OF DUTIES:**Instruction:**

- Follows directions of instructor and works as an effective member of the instructional team to ensure the success of all students.
- Carries out instructional support activities prepared and planned by instructor.
- Assists instructor in review and selection of instructional materials.
- Is capable of supporting reading, writing and/or math instructional strategies.
- Implements a variety of instruction methods as directed by instructor.
- Assists instructor in providing feedback to student and in checking for understanding of instructional goals.
- Is familiar with the instructor's teaching methods for individual and group activities and provides instructional support.
- Monitors and observes student behaviors and shares observations with instructor.

Recordkeeping:

- Assists in implementing, recording and monitoring student educational plan.
- Assists in administering, scoring and evaluating diagnostic tests.
- Assists in preparing student folders and maintaining records of student progress.
- Assists in collecting data for reports.

Program:

- Organizes, uses and maintains supplies, materials and equipment.
- Assists in providing non-instructional support for students and families.
- Understands community resources and discusses possible referrals with instructor.

Professional Development:

- Participates in required professional development activities.
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing a professional development plan.

MINIMUM REQUIREMENTS:

- High school diploma or GED credential. An associate's degree is preferred.
- All instructor's aides hired after January 3, 2011, shall have a high school diploma or GED credential. [Revised January 3, 2011 – See History of Changes](#)

CLASS TITLE: CLERK

CHARACTERISTICS OF THE CLASS: Performs clerical functions and other duties as required.

EXAMPLES OF DUTIES:

- Collates, files and/or prepares documents and reports.
- Collects and enters data for reports.
- Maintains documents and reports.
- Audits reports for accuracy.
- Performs receptionist duties.
- Operates office machines such as copier, calculator, video terminal, microfilm or audio-visual equipment.
- Opens, sorts, prepares, sends and distributes mail.
- Assists in the security and maintenance of test materials.
- Performs basic bookkeeping duties such as counting receipts, bank deposits and payment vouchers.
- Follows established methods and procedures.

MINIMUM REQUIREMENTS:

- High school diploma or GED credential.

CLASS TITLE: Co-op Student/Intern

CHARACTERISTICS OF THE CLASS: Performs general clerical functions and other duties as required; co-op students/interns may not be involved in data entry.

EXAMPLES OF DUTIES:

- Copies, collates and/or files documents.
- Performs receptionist duties.
- Opens, sorts, prepares, sends and distributes mail.
- Follows established methods and procedures.
- Orders and stocks supplies.

MINIMUM REQUIREMENTS:

- High school or college student.

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Professional Development

The purpose of professional development (PD) in Kentucky is to raise the level of expertise of Kentucky's adult educators through life-long learning opportunities so they can equip our students for success. **The theme for PD in 2010-11 is Quality Instruction.** Emphasis will continue to be on math, reading/writing and managed programs (syllabi, curricula, lesson plans, etc.).

GENERAL INFORMATION AND REQUIREMENTS

- **KYAE Professional Development Catalog**
www.kyvae.org/courses/courses.aspx is the registration site for instructor institutes and online courses.
- **Staff titles** (program director, instructor, instructor's aide and clerk) must be the same in AERIN as they are on KYAE forms, i.e., the Basic Grant Budget/Personnel Worksheet. Individual professional development will be based on the Job Activation Date, Job Description and AE Status (part-time, full-time) entered in AERIN under the Staff General and Additional Information screens.
- Part-time and full-time employment status of all adult educators will be defined by the fiscal agent.
- An instructor or instructor's aide shall not repeat an institute within three years without prior approval from KYAE.
- New hires have 30 days to register for PD unless otherwise noted in policy.

SUCCESSFUL COMPLETION OF PD REQUIREMENTS

- Pre-work and pre-tests must be completed **one week before** the first face-to-face training or first week of the online course.
- To fulfill professional development requirements, participants must attend all required institute events, including face-to-face trainings (seven hours each day), web conferences and conference calls, as well as successfully complete all projects and tasks.
- Each institute and online course will include a classroom project. A scoring rubric will be used to assess all projects and tasks. The institute facilitator will evaluate and score the classroom project using the KYAE-classroom project rubric. **Participants will need to earn at least a "2" out of a possible "3" in each area on the classroom project rubric.** The institute facilitator will work with participants when extenuating circumstances occur that prevent a participant from attending a required component of training.

PD PLANNING AND TRACKING

- An annual PD plan is not required by KYAE. KYAE recommends that programs continue to set individual PD plans to support their program's needs and to have a PD growth plan and history for each staff member.
- Professional development histories, beginning with 2009-10, will be found in AERIN. See the reporting module in AERIN.

REQUIREMENTS FOR PROGRAM DIRECTORS

Program directors hired before January 1, 2010, will:

- Complete the Program Director Institute (approximately 50 hours). Consists of five face-to-face trainings (7 hours per day) beginning with a two-day first session kickoff in December (14 hours), a two-day continuation (14 hours) and a one-day showcase (7 hours), conference calls (1-2 hours), web conferences (1 -2 hours) and a project (7 hours).
- Program directors, excluding those participating in a 2010-11 targeted institute (PowerPath and Standards-in-Action), will also participate in two PD webinars on how to support staff as they learn new instructional strategies under the KYAE PD model. In addition, these directors will accompany at least one of their instructors or instructor's aides to see their presentation at an institute showcase in April or May 2011.
- Program directors participating in a 2010-11 targeted institute (PowerPath, Standards-in-Action or Managed Program Pilot) may count those activities as the project portion of the Program Director Institute.

Directors hired or reclassified on or after January 1, 2010, will:

- Complete the Program Director Institute (December 2010), the institute project and the follow-up activities including web conferences, conference calls and additional face-to-face meetings.
- Complete the Orientation to Adult Education online course (6-8 hours, no project) within the first 60 days of hire or reclassification as program director.
- Participate in the face-to-face New Program Director Orientation (7 hours, Fall 2010).

REQUIREMENTS FOR FULL-TIME INSTRUCTORS AND INSTRUCTOR'S AIDES

All full-time instructors and instructor's aides will complete one instructor institute. The institute pre-work and pre-tests must be completed one week before the institute's first session kickoff. Participants will need to earn a "2" in each area of the classroom project rubric to successfully complete an institute or online course.

Instructors and instructor's aides who have instructional duties (tutoring,

reviewing work with students) will attend an institute based on their number of years experience in adult education. All institutes will require completion of a classroom project.

- **1st Year Instructor Institute (Approximately 57 hours)**
 - This institute is for instructors and instructor's aides hired on or after January 1, 2010.
 - Prerequisite: Orientation to Adult Education online course.
 - Consists of a total of **six days** of face-to-face trainings that include a three-day first session kickoff (21 hours), a two-day second session continuation (14 hours) and a one-day final session showcase (7 hours), conference calls (1-2 hours), web conferences (1-2 hours), a classroom project (7 hours) and coaching visits (2-4 hours).
- **2nd Year Instructor Institute (Approximately 50 hours)**
 - This institute is for instructors and instructor's aides hired between January 1, 2009, and December 31, 2009.
 - Prerequisite: Orientation to Adult Education online course.
 - Consists of a total of **five days** of face-to-face trainings that include a three-day first session kickoff (21 hours), a two-day second session (14 hours) and a one-day final session showcase (7 hours), conference calls (1 -2 hours), web conferences (1-2 hours), a classroom project (7 hours) and coaching visits (2-4 hours).
- **Experienced Instructor Institutes (Approximately 50 hours)**
 - The Experienced Instructor Institutes are for instructors and instructor's aides hired before January 1, 2009.
 - **Reading and Writing: Best Practices Institute**
 - Prerequisite: Orientation to Adult Education
 - Consists of **five** face-to-face trainings, a two-day first session kickoff (14 hours), a two-day second session (14 hours) and a one-day showcase (7 hours), a classroom project (7 hours), one or more web conferences, conference calls and coaching visits (2-4 hours).
 - **Strategies for the Struggling Reader: Diagnostics to Instruction Institute**
 - Prerequisites: Orientation to Adult Education and Reading and Writing Instruction: Best Practices. Those who have participated in Reading Diagnostics or the Struggling Readers trainings prior to fiscal year 2009-2010 may be exempt from sections of this institute and only be required to complete the piece they missed. Contact Dawn Hanzel, Dawn.Hanzel@uky.edu, at the Collaborative Center for Literacy Development.
 - Consists of **five** face-to-face trainings, a two-day first session kickoff (14 hours), a two-day second session (14 hours) and a one-day showcase (7 hours), a classroom project (7 hours), one

- or more web conferences, conference calls and coaching visits (2-4 hours).
- **Differentiated Reading Instruction in a Multi-level Classroom Institute**
 - Prerequisites: Strategies for the Struggling Reader: Diagnostics to Instruction and Reading and Writing Instruction: Best Practices.
 - Consists of **five** face-to-face trainings, a two-day first session kickoff (14 hours), a two-day second session (14 hours) and a one-day showcase (7 hours), a classroom project (7 hours), one or more web conferences, conference calls and coaching visits (2-4 hours).
- **Geometry and Number Sense Pedagogy Institute**
 - Prerequisite: Orientation to Adult Education
 - Consists of **five** face-to-face trainings, a two-day first session kickoff (14 hours), a two-day second session (14 hours) and a one-day showcase (7 hours), conference calls or web conferences and coaching visits.
- **Geometry Content Institute**
 - Prerequisite: Orientation to Adult Education
 - These institutes will kick off in January 2011. They will be online without any face-to-face training or webinar. KYAE will offer this content institute only for a limited time.
- **Number Sense Content Institute**
 - Prerequisite: Orientation to Adult Education
 - These institutes will kick off in January 2011. They will have **six** (instead of five) days of face-to-face trainings. The rest will be online. KYAE will offer this content institute only for a limited time.
- **Learning to Think, Learning to Learn: What the Science of Thinking and Learning Has to Offer Adult Education Institute**
 - Prerequisite: Orientation to Adult Education
 - Consists of **five** face-to-face trainings, a two-day first session kickoff (14 hours), a two-day second session (14 hours) and a one-day showcase (7 hours), a classroom project (7 hours), one or more web conferences, conference calls and coaching visits (2-4 hours).
- **Targeted Instructor Institutes**

Dates and locations for the three Targeted Instructor Institutes will be distributed to participants by KYAE. KYAE will also register participants for these institutes.

 - Managed Program Pilot
 - PowerPath
 - Standards-in-Action

REQUIREMENTS FOR PART-TIME INSTRUCTORS AND INSTRUCTOR'S AIDES
Part-time instructors and instructor's aides who have instructional duties
(tutoring, reviewing work with students) hired after January 1, 2010

Part-time instructors and instructor's aides who have instructional duties (instructing under the direct supervision of an instructor, tutoring, reviewing work with students), who are not participating in an Instructor Institute, must complete the following **two** online courses:

- Orientation to Adult Education (6-8 hours, no classroom project, must be completed within the first 60 days of hire)
- Assessment to Instruction (6 weeks, one hour per week, 30 extra days for classroom project)

Part-time instructors and instructor's aides hired before January 1, 2010

Part-time instructors and instructor's aides who are not participating in an Instructor Institute shall complete **one of the following** online courses and the course accompanying project.

Part-time instructors and instructor's aides must complete **one** of the following online courses:

- Assessment to Instruction (6 weeks, one hour per week, 30 extra days for classroom project)
- Effective Instructional Strategies, Part 1 (6 weeks, one hour per week, 30 extra days for classroom project)
- Effective Lesson Planning (6 weeks, one hour per week, 30 extra days for classroom project)
- Effective Instructional Strategies, Part 2, (6 weeks, one hour per week, 30 extra days for classroom project)
- Effective Adult ESL Classrooms, Part 1 (formerly Orientation to ESL Online Course, Part 1; 6 weeks, one hour per week, 30 extra days for classroom project)
- Effective Adult ESL Classrooms, Part 2 (formerly Orientation to ESL Online Course, Part 2; 6 weeks, one hour per week, 30 extra days for classroom project)
- Foundations of Teaching Adult Numeracy by ProLiteracy (see [PD e-Handbook](#) for intensive or extended schedule; both are 12 hours and 3 extra hours for classroom activities)
- Teaching Reasoning and Problem Solving by ProLiteracy (see [PD e-Handbook](#) for intensive or extended schedule; both are 12 hours and 3 extra hours for classroom activities)

Instructors and instructor's aides who instruct less than 50 hours per year are not required to take any KYAE professional development. Program directors must indicate this status on an exemption form. KYAE will note the exemption in AERIN.

If space permits and with the program director's permission, part-time instructors and instructor's aides who have instructional duties (tutoring, reviewing work with students) may participate in and complete an Instructor Institute and classroom project in lieu of the online courses and classroom projects. The Instructor Institute selected will be based on the instructor's date of hire and adult education experience (i.e., those hired on or after January 1, 2010, may only select a 1st Year Instructor Institute).

REQUIREMENTS FOR CLERKS

Clerks responsible for program support functions (e.g. data entry) are only required to attend AERIN training. New clerks must also complete Orientation to Adult Education within the **first 60 days of hire**.

EXEMPTIONS TO PD REQUIREMENTS

Program directors, instructors and instructor's aides may seek exemption from PD requirements due to extenuating circumstances.

Exemption requests for instructors and instructor's aides must be submitted by the program director. Requests for PD exemptions must be received within 10 days of the first missed PD event. The director will complete the [2010-11 Professional Development Exemption Request Form](#) and e-mail it to KYAE at aepd@ky.gov.

Program directors requesting their own exemption must have their fiscal agent complete and e-mail the [2010-11 Professional Development Exemption Request Form](#) to KYAE at aepd@ky.gov within 10 days of the first missed PD event.

If an exemption request is approved, the director will file a copy of the approval in the appropriate staff folder. KYAE will note on the AERIN system the exemption status for the individual(s).

Instructors and instructor's aides who instruct less than 50 hours per year are not required to take KYAE professional development. Program directors must report these instructors and instructor's aides to KYAE by completing the exemption form and e-mailing it to KYAE at the link above in order for KYAE to note the exemption in AERIN.

Instructor's aides who assist in the classroom but do not have any instructional duties (instruction under direct supervision of an instructor, tutoring, reviewing work with students) are not required to complete any professional development. Program directors must identify these instructors on the exemption form and submit it to KYAE in order for KYAE to note the exemption in AERIN.

TRAINING

Throughout the fiscal year, KYAE may host curricula, software, assessment or other trainings. These trainings may be attended when needed, regardless of completion of required professional development. PD funds may be used for travel to these KYAE-sponsored trainings.

CONFERENCES

Only performance funding may be used to attend [KYAE-approved conferences](#); however, no more than two persons per county program may attend the same conference. Exemptions may be considered on an individual program basis. The program director or supervisor will complete the [Conference Attendance Approval Application](#) and send it to KYAE at aepd@ky.gov.

Travel outside of the contiguous United States is not an allowable cost.

COLLEGE TUITION REIMBURSEMENT

KYAE will reimburse up to \$1,000 per semester (not to exceed \$3000 per program year) per full-time staff member for college tuition while funds are available. Reimbursement is available for undergraduate coursework in learning disabilities, education, reading, language arts, science, social studies, math, English as a Second Language (ESL) and for graduate level courses to earn a master's degree in linguistics, ESL, adult education, arts in teaching, reading, language arts, science, social studies and math.

Programs will not use their PD allocations for college tuition reimbursement.

- Reimbursement will apply to Kentucky's public postsecondary institutions only.
- Reimbursement will be made to the employee's program and not to individuals. It is the responsibility of the local program to reimburse their employee for college tuition.
- The courses must be approved by KYAE before the first day of class.
- Staff eligible for employer or fiscal agent tuition waiver are not eligible for KYAE college tuition reimbursement.
- The program director or supervisor must send the completed [College Course Approval Application](#) to aepd@ky.gov.
- For approved requests, the staff member must earn a letter grade of "C" or better. For a graduate course, the staff member must earn a letter grade of "B" or better.
- The program director will provide a copy of the college tuition expense as part of the KYAE-10 invoice along with a copy of the transcript showing completion of the course at the grade levels listed above. KYAE will only

reimburse fiscal agents. A copy of the transcript must also be filed in the staff personnel file.

- In the event that an employee, having received KYAE tuition reimbursement, does not continue in employment at the adult education program for a six-month period following completion of a course, the employee shall repay KYAE for the cost of the educational assistance. All materials for reimbursement must be received by the final invoice date.
- An employee who is laid-off shall not be obligated to the six-month service obligation clause and shall not have to repay educational assistance funds provided the previous semester.
- KYAE is authorized to recover education assistance funds expended if:
 - The course(s) is (are) dropped, regardless of cause, without prior approval of the appointing authority or his/her designee.
 - The employee resigns/retires or is dismissed for cause prior to completion of a six-month service obligation after completion of the course or during the course.

PD FUNDS

PD funds are reserved to support the KYAE PD model. Prior written approval from KYAE is required for using the PD allocation to support additional PD, including local PD, once the expenses of the model are met. The program director will send a written request to aepd@ky.gov. The request will include:

- PD activity and date.
- Scheduled participants (names, titles and e-mail addresses).
- Reason for the local PD.
- Cost.

PD FUNDS ARE TO BE USED FOR:

- KYAE-sponsored trainings, meetings or events.
- Salaries for staff attending KYAE-sponsored trainings, meetings or events.
- Actual costs of registration, not to include memberships. Meals covered by registration fees are not reimbursable.

NON-ALLOWABLE COSTS

Non-allowable costs include, but are not limited to:

- Substitute instructors covering classrooms. (Substitutes may be paid from instructional funds.)
- Routine duties of staff, including but not limited to, meeting with students, attending staff meetings or other duties not associated with professional development.
- Membership dues for professional organizations.

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Funding

Each Kentucky county is entitled to a core services grant determined by formula to fund adult literacy services, adult basic education, GED preparation/adult secondary education, English as a second language, family literacy, corrections education in full-service jails and workplace education. The Kentucky Adult Education Act of 2000 requires services to be targeted to communities with the greatest need; therefore, the funding formula is based on the number of adults in each county without a high school diploma or GED credential, age 18 and over, according to the 2000 U.S. Census. Funding is distributed through grants to eligible organizations in every Kentucky county based on a request for proposal (RFP) process determined by KYAE.

Workforce Alliance funds for workplace education projects are available through successful application pending the availability of funds.

English literacy/civics funding is available on a limited basis to adult education providers based on an RFP process determined by KYAE.

Funds received under the KYAE grant program shall be used to supplement and not supplant funds already available to the applicant from other sources for purposes authorized by the Adult Education and Family Literacy grant program.

The grantee will repay any funds that have been finally determined through federal or state audit resolution processes to have been questioned costs or disallowed costs or otherwise not properly accounted for, and further agrees to pay any collection fees that may subsequently be imposed by the federal and/or state government.

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Administrative

FINANCIAL INFORMATION

REPORTING

Providers shall be reimbursed for reasonable, allowable and actual costs incurred if costs are specified in the contract. Providers must invoice on a monthly basis. Invoices are due on the 10th of each month. For full reimbursement, final invoices are due to KYAE by close of business on the date specified in the contract (Section II.F.), unless notified otherwise in writing by KYAE. Invoices received after the final invoice date will not be considered for reimbursement. Failure to comply with these deadlines may result in payment being delayed or withheld.

BUDGETING

A line item in local program budgets allows for the use of up to 0.5 (one half) percent of the core services grant for GED ceremonies and refreshments for student activities.

A maximum of 15 percent of the core services grant funding may be used for administrative purposes. Advertising/recruitment is an administrative expense.

Fiscal agents serving multiple counties should be aware that:

- Administrative funds from multiple counties must be used proportionately throughout the contracted counties.
- Any administrative functions performed at the county level must be budgeted at the county level.
- Instructional funds may not be used to cover administrative costs at the county level.

Administrative expenses may not exceed 10 percent of the total amount invoiced for Workforce Alliance grants or 5 percent of the total invoiced for EL/Civics grants.

Corrections expenditures must be reported as a line item on invoices to KYAE and included in the core services line item total for payment.

WORKING CAPITAL ADVANCE

In accordance with the federal *Cash Management Improvement Act*, eligible providers that lack sufficient working capital may submit a written request for a working capital advance. The amount of the advance cannot exceed one quarter of the approved budget. Upon approval, the recipient of the advance must submit

monthly invoices for cost reimbursement. If the total disbursement amount exceeds the actual costs incurred, the provider shall reimburse the Commonwealth.

EXPENDITURE REPORTS AND TIMESHEETS

Providers shall use the online [Finance Module](#) to report program expenses. A separate expenditure report form shall be completed for each program (core services, workplace education, etc.) by county. For fiscal agents administering more than one county, a report shall be submitted for each county individually and summarized collectively by contract. Incomplete or incorrect reports shall be returned to the provider and may result in payment being delayed or withheld.

BUDGET AMENDMENT REQUEST FORM

Provider expenditures shall not exceed the line item allocations or budget total as specified in the contract. To request changes to the contract budget, providers must submit an online Budget Amendment Request. To change a line item more than 10 percent, providers must indicate “amendment” on the form. KYAE approval must be obtained before a provider may reallocate funds among line items. To change line item amounts by 10 percent or less, providers must submit the online form and indicate the change as “realignment.”

INVENTORY REPORTING

Providers shall submit a comprehensive Inventory Report (INV-1) by August 31 following completion of the contract year, listing all non-consumable items with a useful life greater than one year and purchased with KYAE funds.

RECORDS

County adult education programs shall maintain a folder on each student containing enrollment forms, assessment forms, standardized test scores and the student’s educational plan. Student folders must be kept on file for three years.

Providers shall retain all records of financial transactions and accounts relating to this grant for a period of three years and shall make such records available for inspection and audit by KYAE staff members or an authorized representative of KYAE.

Documents of hours worked shall be maintained for KYAE-funded employees in the fiscal office and/or office of the program director.

DATA COLLECTION AND REPORTING

Providers are required to submit data electronically using AERIN. Failure to comply with the following deadlines may result in the withholding of payment:

- County adult education providers shall submit student data (for example, enrollment, goal attainment) by the 10th of the month for the previous month.
- Daily student contact and attendance hours shall be entered at least monthly by the 10th of the month for the previous month. See pp. 23-24 for NRS definition of contact and attendance hours.
- Providers shall update all separations by the last day of the quarter (September 30, December 31, March 31 and June 30).
- Final program year data shall be entered into AERIN by July 10.

KYAE regularly updates the AERIN Users' Manual and the KYAE Policy and Procedure Manual to incorporate NRS changes. Updates on system changes and revisions to the Users' Manual are announced and posted on [KYAE's website](#) and through e-mail.

New AERIN users are required to complete a training session prior to being issued a user identification number.

TECHNOLOGY

The fiscal agent is responsible for providing technical support to the adult education program as needed to ensure security of information, computer access for staff and students, and proper functionality of hardware and software.

Computer equipment purchased with KYAE funding must meet minimum technology standards.

County programs must have at least one site with technology and connectivity to offer curriculum and related learning products available on the Internet.

The provider shall have a designated computer sufficient for KYAE's required information management system and have staff capable of maintaining and reporting accurate electronic data on program outcomes and performance. The provider shall make Internet access, including e-mail, available via a dedicated line.

Each program employee shall have an individual e-mail address, which must be entered in AERIN.

EQUIPMENT AND SUPPLIES

Providers must have appropriate assessment and instructional materials to meet the needs of their students. The assessment instruments shall be kept in a secure environment according to vendor requirements.

Any non-consumable items purchased with adult education funds shall revert to KYAE at the end of the project or at program closure.

FACILITIES

Fiscal agents shall ensure that:

- All instructional facilities and services shall be in compliance with the Americans with Disabilities Act of 1990.
- All facilities shall have appropriate exterior and interior signage clearly identifying the adult education programs.
- All students shall have a safe, age-appropriate and student-friendly learning environment that is in good condition and properly maintained and has adequate space and equipment. Students shall not be required or permitted to receive KYAE-funded services in buildings or surroundings that are dangerous, unsanitary or hazardous to the student's health and safety. Adult education centers should be in a location that is easily accessible and has adequate parking. If it is determined through a KYAE site visit that the facility does not meet requirements, the fiscal agent may be asked to relocate the center to a more appropriate location or correct deficiencies.

Newly selected fiscal agents must work with the KYAE regional program support associates to identify appropriate adult education center locations. Fiscal agents must also work with the KYAE regional program support associates when moving the location of an adult education center.

COST FOR FACILITIES

State and federal funds are to be used for program services. Fiscal agents are encouraged to seek donated or in-kind space in order to provide maximum resources to the students. If lease expenditures are necessary, they shall meet the definition of reasonable as defined in federal circulars (A-87, A-122 and others) as applicable.

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